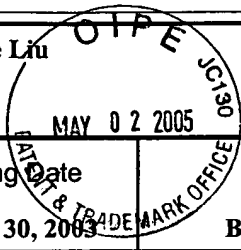


**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
15436.441.1

In Re Application Of: Yue Liu



Application No.

Filing Date

Examiner

Customer No.

Group Art Unit

Confirmation No.

10/607,982

June 30, 2003

Bernard E. Souw

022913

2881

6986

Title: **COMPACT PACKAGE DESIGN FOR VERTICAL CAVITY SURFACE EMITTING LASER ARRAY TO OPTICAL FIBER CABLE CONNECTION**

Address to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

**OR**

☒ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

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10/607,982	June 30, 2003	Bernard E. Souw	022913	2881	6986

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**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☒ Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on \_\_\_\_\_

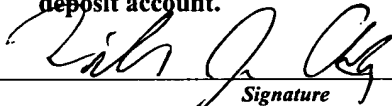
\_\_\_\_\_  
(Date)

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Signature of Person Mailing Correspondence

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Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**

Dated: May 2, 2005

  
\_\_\_\_\_  
Signature  
**William J. Athay**  
Attorney for Applicant  
Registration No. 44,515

CC:



PATENT APPLICATION  
Docket No: 15436.441.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of		)	
	Yue Liu	)	
Serial No.:	10/607,982	)	Art Unit
Confirmation No.:	6986	)	2881
Filed:	June 30, 2003	)	
For:	COMPACT PACKAGE DESIGN FOR VERTICAL CAVITY SURFACE EMITTING LASER ARRAY TO OPTICAL FIBER CABLE CONNECTION	)	
Examiner:	Bernard E. Souw	)	

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

DATED this 21 day of May, 2005.

Respectfully submitted,



WILLIAM J. ATHAY  
Attorney for Applicant  
Registration No. 44,515  
Customer No. 022913

WJA:kjn  
KJN0000001276V001

Applicant:

Yue Liu

Serial No.:

10/607,982

Atty Docket No.: 15436.441.1

Filing Date:

June 30, 2003

Group: 2881

For:

COMPACT PACKAGE DESIGN FOR VERTICAL CAVITY  
SURFACE EMITTING LASER ARRAY TO OPTICAL FIBER CABLE  
CONNECTIONINFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
____ 1	5,903,588	05/11/99	Guenter, et al.

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>
NONE			

Other Documents

(including author, title, pertinent pages, etc.)

Examiner

Initial\*

NONE

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant:

Yue Liu

Serial No.:

10/607,982

Atty Docket No.: 15436.441.1

Filing Date:

June 30, 2003

Group: 2881

For:

COMPACT PACKAGE DESIGN FOR VERTICAL CAVITY  
SURFACE EMITTING LASER ARRAY TO OPTICAL FIBER CABLE  
CONNECTION



**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

KJN0000001277V001

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.